



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.
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08/847,967 4/22/97 Goldwasser 97-2

EXAMINER: Heard

ART UNIT: 1627 PAPER NUMBER: 1627

DATE MAILED: 5/10/97

INTERVIEW SUMMARY

All participants (applicant, applicant's representative, PTO personnel):

- (1) Maurie Garcia, RR (3) Paul Stone, App Rep

Date of interview: 5/10/97

Type: ☐ Telephonic ☒ Personal (copy is given to ☐ applicant ☒ applicant's representative)

Exhibit shown or demonstration conducted: ☐ Yes ☒ No If yes, brief description:

Agreement ☐ was reached. ☒ was not reached.

Claim(s) discussed: all pending & proposed

Identification of prior art discussed: Cavicchi et al

Description of the general nature of what was agreed to if an agreement was reached, or any other comments:

Discussed Cavicchi reference & its teachings, with respect to claims & proposed amendments.

(A fuller description, if necessary, and a copy of the amendments, if available, which the examiner agrees must be attached. Also, where no copy of the amendments which would render the claims allowable attached.)

☒ It is not necessary for applicant to provide a separate record of the substance of the claims allowable

Unless the paragraph above has been checked to indicate to the contrary, IS NOT WAIVED AND MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW

action has are ready been filed, APPLICANT IS GIVEN ONE MONTH

SUBSTANCE OF THE INTERVIEW

2. ☒ Since the Examiner's interview summary above (including rejections and requirements that may be present in the response requirement for the interview unless box 1 above is also checked)

Examiner Note: You must sign this form

FORM PTO-413 (REV.1-96)

**Manual: Patent Examining Procedure, Section 713.04 Substance of Interview must Be Made of Record**

A complete written statement as to the substance of any face-to-face or telephone interview with regard to an application must be made of record in the application, whether or not an agreement with the examiner was reached at the interview.

**§1-133 Interviews**

(b) In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for response to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

§ 1.2. Business to be transacted in writing. All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete a two-sheet carbon interleaf Interview Summary Form for each interview held after January 1, 1978 where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks in neat handwritten form using a ball point pen. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below.

The Interview Summary Form shall be given an appropriate paper number, placed in the right hand portion of the file, and listed on the "Contents" list on the file wrapper. The docket and serial register cards need not be updated to reflect interviews. In a personal interview, the duplicate copy of the Form is removed and given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephonic interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the telephonic interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Serial Number of the application
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (personal or telephonic)
- Name of participant(s) (applicant, attorney or agent, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the claims discussed
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). (Agreements as to allowability are tentative and do not restrict further action by the examiner to the contrary.)
- The signature of the examiner who conducted the interview
- Names of other Patent and Trademark Office personnel present.

The Form also contains a statement reminding the applicant of his responsibility to record the substance of the interview.

It is desirable that the examiner orally remind the applicant of his obligation to record the substance of the interview in each case unless both applicant and examiner agree that the examiner will record same. Where the examiner agrees to record the substance of the interview, or when it is adequately recorded on the Form or in an attachment to the Form, the examiner should check a box at the bottom of the Form informing the applicant that he need not supplement the Form by submitting a separate record of the substance of the interview.

It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview:

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of specific prior art discussed,
- 4) an identification of the amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the applicant.

5) a brief identification of the arguments presented to the examiner. The identification of arguments need not be lengthy or elaborate. A verbal thrust of the argument may be sufficient if the general nature of the argument is understood in the context of the application file. Of course, the applicant may desire to elaborate on the arguments presented to the examiner. The identification of arguments need not be lengthy or elaborate. A verbal thrust of the argument may be sufficient if the general nature of the argument is understood in the context of the application file. Of course, the applicant may desire to elaborate on the arguments presented to the examiner.

As described in the Interview Summary Form completed by the examiner.

If the record is not complete or accurate, the examiner will give the applicant an opportunity to complete the response and thereby avoid the necessity of a re-examination.

Any argument or statement attributed to the applicant should be pointed out in the next Office letter. If the statement attributed to him, if the record is not complete, the interview along with the date and